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<b>NOTICE OF APPEAL FROM THE EXAMINER TO THE BOARD OF PATENT APPEALS AND INTERFERENCES</b>		Docket Number (Optional) 014033-000037						
<p>I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to "Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450" [37 CFR 1.8(a)]</p> <p>on _____</p> <p>Signature _____</p> <p>Typed or printed name _____</p>								
<p>In re Application of Ross L. Stevens et al.</p> <table border="1"> <tr> <td>Application Number 10/711,889</td> <td>Filed October 12, 2004</td> </tr> <tr> <td colspan="2">For METHOD AND SYSTEM FOR BLOCK TRADING OF SECURITIES</td> </tr> <tr> <td>Art Unit 3691</td> <td>Examiner John O. Preston</td> </tr> </table>			Application Number 10/711,889	Filed October 12, 2004	For METHOD AND SYSTEM FOR BLOCK TRADING OF SECURITIES		Art Unit 3691	Examiner John O. Preston
Application Number 10/711,889	Filed October 12, 2004							
For METHOD AND SYSTEM FOR BLOCK TRADING OF SECURITIES								
Art Unit 3691	Examiner John O. Preston							

Applicant hereby appeals to the Board of Patent Appeals and Interferences from the last decision of the examiner.

The fee for this Notice of Appeal is (37 CFR 41.20(b)(1)) \$ 540.00

Applicant claims small entity status. See 37 CFR 1.27. Therefore, the fee shown above is reduced by half, and the resulting fee is: \$ \_\_\_\_\_

A check in the amount of the fee is enclosed.

Payment by EFT.

The Director has already been authorized to charge fees in this application to a Deposit Account.

The Director is hereby authorized to charge any fees which may be required, or credit any overpayment to Deposit Account No. 13-4365

A petition for an extension of time under 37 CFR 1.136(a) (PTO/SB/22) is enclosed.

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

I am the

applicant/inventor. /stevenbphillips/ \_\_\_\_\_  
Signature \_\_\_\_\_

assignee of record of the entire interest. Steven B. Phillips  
See 37 CFR 3.71. Statement under 37 CFR 3.73(b) is enclosed.  
(Form PTO/SB/96) \_\_\_\_\_  
Typed or printed name \_\_\_\_\_

attorney or agent of record. 919.286.8124  
Registration number 37,911 \_\_\_\_\_  
Telephone number \_\_\_\_\_

attorney or agent acting under 37 CFR 1.34. December 11, 2008  
Registration number if acting under 37 CFR 1.34. \_\_\_\_\_  
Date \_\_\_\_\_

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required.  
Submit multiple forms if more than one signature is required, see below\*. \*Total of 1 forms are submitted.

This collection of information is required by 37 CFR 41.31. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11, 1.14 and 41.6. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.